

# Summary of Changes

USMEPCOM Regulation 20-1, October 29, 2012  
Inspections, Assistance, and Investigations  
USMEPCOM Inspector General Activities and Procedures

*Incorporating changes effective October 29, 2012*

This regulation contains a number of revisions and must be reviewed in its entirety to have a clear understanding of all revisions.

DEPARTMENT OF DEFENSE  
HEADQUARTERS, UNITED STATES MILITARY ENTRANCE PROCESSING COMMAND  
2834 GREEN BAY ROAD, NORTH CHICAGO, ILLINOIS 60064-3091

\*USMEPCOM Regulation  
No. 20-1

October 29, 2012

*Incorporating changes effective October 29, 2012*

**Effective: October 29, 2012**

**Inspections, Assistance, and Investigations  
UNITED STATES MILITARY ENTRANCE PROCESSING COMMAND  
INSPECTOR GENERAL ACTIVITIES AND PROCEDURES**

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**Summary.** This regulation prescribes policy and procedures for general inspections, investigations and inquiries, reports, and requests for assistance. This regulation identifies documents that may be requested during an inspection and items of command interest.

**Applicability.** This regulation applies to the MEPS, Battalions, Sectors, Directorates and Special Staff Officials of USMEPCOM.

**Supplementation.** Supplementation of this regulation is prohibited without prior approval from Headquarters, United States Military Entrance Processing Command (Headquarters, USMEPCOM), ATTN: MEIG-AI, 2834 Green Bay Road, North Chicago, IL 60064-3091.

**Suggested improvements.** The proponent agency of this regulation is Headquarters, USMEPCOM, ATTN: MEIG-AI. Users are invited to send comments and suggested improvements on [Department of the Army \(DA\) Form 2028](#) (Recommended Changes to Publications and Blank Forms), or by memorandum, to Headquarters, USMEPCOM, ATTN: MEIG-AI, 2834 Green Bay Road, North Chicago, IL 60064-3091.

**Internal control process.** This regulation contains internal control provisions and lists key internal controls that must be evaluated. The Internal Control Evaluation Checklists are in appendices [C](#) and [D](#). This regulation complies with [Army Regulation \(AR\) 11-2](#), Managers' Internal Control Program.

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\*This regulation supersedes USMEPCOM Regulation 20-1 March 23, 2007.

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[TOC](#)**Chapter 1**  
**General**

**1-1. Purpose.** This regulation implements policy, assigns responsibilities, and provides procedures to guide the Inspector General (IG) activities for USMEPCOM IGs. This regulation prescribes uniform policies and procedures for USMEPCOM IGs, assists in defining relationships with other IGs (i.e., Chairman of the Joint Chiefs of Staff IG, Inspector General of the Department of Defense (IG DoD), DoD Agency IGs, and Service IGs) and creates a reference document for USMEPCOM IG use. This regulation prescribes policy and procedures for general inspections, investigations, and inquiries, the USMEPCOM Command Inspection Program (MCIP), and outlines methods of responding to requests for assistance. USMEPCOM is a Department of Defense (DoD) field-operating agency, with Department of the Army (DA) as the executive agent. USMEPCOM is a jointly staffed command with personnel from the five Services and DA civilians. An officer from any of the Services may be detailed as the USMEPCOM Joint Command Inspector General (JCIG). The USMEPCOM IG will perform his/her duties according to DoD and USMEPCOM regulations.

**1-2. Applicability and Scope.** This regulation applies to HQ, USMEPCOM, Sectors, Battalions, and MEPS. This includes all individuals assigned (temporary or permanent), attached, or anyone under the operational command and control of a Commander or Director within USMEPCOM.

**1-3. References.** References are listed in [Appendix A](#).

**1-4. Abbreviations and terms.** Abbreviations and terms used in this regulation are explained in the [Glossary](#).

**1-5. Responsibilities.** All USMEPCOM IGs will perform their functions in accordance with (IAW) [DoDD 5106.04](#), (Combatant Command Inspectors General), and DoD Instructions applicable to Inspectors General assigned to USMEPCOM. Detailed IGs, assistant IGs and temporary assistant IGs will only conduct Inspector General duties and will not be assigned other duties that are restricted by [DoD I 5106.05](#), paragraph E3.13. Only IG trained individuals will be designated as acting USMEPCOM IGs.

a. The Inspector General of the Department of Defense (IG DoD) shall:

(1) Assist USMEPCOM IGs by coordinating and clarifying DoD Policy regarding USMEPCOM IG policies, duties, responsibilities, and functions. This is done in consultation with the DoD Joint IG School and staff agencies of the DoD IG.

(2) Coordinate, conduct, provide uniform training, and certification regarding USMEPCOM IG duties, responsibilities, and functions, procedures, and standards for the Joint Command Inspector General (JCIG) and his/her staff.

b. The USMEPCOM Joint Command Inspector General (JCIG) will:

(1) Serve the USMEPCOM Commander and support the Soldiers, Sailors, Airmen, Marines, Coast Guardsmen (when assigned or attached), and DoD or DA civilian employees within the command. However, the JCIG works for and reports directly to the USMEPCOM Commander.

(2) Serve as fair, impartial, and objective fact-finder and problem solver. The JCIG must be sufficiently independent so that personnel requesting IG assistance will continue to do so even when the complainant feels that the Commander may be the problem.

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(3) Report on the state of efficiency, discipline, morale, training, and readiness throughout the command in support of the USMEPCOM Commander's intent.

(4) Perform investigations, inspections, and assistance functions as directed by the USMEPCOM Commander. The JCIG may inquire into any matter within the scope of the USMEPCOM Commander's authority while executing these functions.

(5) Coordinate issues or situations with DoD IG and the Joint Staff IG when such issues or situations may potentially affect other Commands, DoD Agencies, or Military Services.

(6) Monitor and report on intelligence oversight programs under the administrative control of USMEPCOM according to [DoDI 5200.01](#), DoD Information Security Program and Protection of Sensitive Compartmented Information (Reference (c) and (d)), and [Chairman of the Joint Chiefs of Staff Instruction \(CJCSI\) 5901.01B](#), Joint Staff Inspector General Responsibilities, Procedures, and Oversight Functions (Reference (e)). Note: USMEPCOM currently does not have any intelligence assets.

(7) Notify the Military Service concerned of initiation and completion of investigative actions on service personnel in accordance with Military Service requirements.

(8) Select and train USMEPCOM IG staff members. The JCIG may afford the IG of the nominee's Military Service the opportunity to comment on the qualification and suitability of any prospective USMEPCOM IG staff member.

(9) Inform the USMEPCOM Commander of observations, findings, and impressions on all aspects of the command.

(10) Report directly to the USMEPCOM Commander. This JCIG and Commander reporting relationship will not be further delegated.

(11) Have and supervise a staff comprised of military and civilian members, as the USMEPCOM Commander deems necessary, to execute the duties of the office of the USMEPCOM Joint Command Inspector General.

c. The USMEPCOM Commander will:

(1) Select a civilian in the grade of GS-14 or above, or O-6 equivalent to serve as the JCIG. The Joint Command Inspector General shall be a separate and full time position and shall not be filled on a part-time basis or by a civilian assigned to another position.

(2) Provide administrative and support personnel and other resources as necessary to the JCIG and staff to accomplish assigned missions.

(3) Will not assign duties to the Joint Command Inspector General that will interfere or conflict with the ability to provide unbiased monitoring, inspections, investigations, and oversight of the command's personnel or activities.

(4) Rate/evaluate the JCIG.

(5) Serve as the release authority and initial denial authority for all USMEPCOM IG records release. The USMEPCOM Commander may delegate the records release authority to the JCIG.

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(6) Be knowledgeable of the IG concepts and assist the JCIG on how best to serve the command.

(7) Ensure the USMEPCOM IG office is fully funded to support all inspections and investigations, as appropriate.

d. USMEPCOM Directors and Special Staff Officers.

(1) J-1/Human Resources Directorate will:

(a) Process all requests of replacement for all military and civilian billets. This is done at the request of the JCIG prior to selection or assignment to a vacant USMEPCOM billet.

(b) Review and provide input to the IG inspection checklist prior to being posted on the USMEPCOM MEPNET IG home page.

(c) Conduct face-to-face review of the IG checklist before it is finalized and posted to MEPNET.

(d) Provide unrestricted access to the JCIG (and Assistant IGs) to all records and record systems, as appropriate.

(2) J-8/Resource Management Directorate will:

(a) Ensure the IG office is fully funded to conduct all inspections and investigations as determined by the USMEPCOM Commander.

(b) Review and provide input to the IG inspection checklist prior to being posted on the USMEPCOM MEPNET IG home page.

(c) Conduct face-to-face review of the IG checklist before it is finalized and posted to MEPNET.

(d) Provide unrestricted access to the JCIG (and Assistant IGs) to all records and record systems, as appropriate.

(3) Office of the Staff Judge Advocate will:

(a) Provide technical support on legal matters and investigations when the JCIG receives complaints that involve the command or when the JCIG makes a referral to the command for an investigation.

(b) Provide legal reviews of Inspector General Reports of Investigation (ROI) or Investigative Inquiry (ROI) prior to the USMEPCOM Commander's approval.

(c) Review and provide input to the IG Inspection checklist prior to being posted on the USMEPCOM MEPNET IG home page.

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(d) Conduct face-to-face review of the IG checklist before it is finalized and published.

(e) Provide unrestricted access to the JCIG (and Assistant IGs) to all records and record systems, as appropriate.

(4) J-3/J-4/J-5/J-6/J-7/PAO/EO/EEO will:

(a) Review and provide input to the IG inspection checklist prior to being posted on the USMEPCOM MEPNET IG home page.

(b) Conduct face-to-face review of the IG checklist before it is finalized and posted to MEPNET.

(c) Provide unrestricted access to the JCIG (and Assistant IGs) to all records and record systems, as appropriate.

e. Sector Commanders will:

(1) Ensure the deficiencies that led to a “Not-In-Compliance” rating during an IG inspection are corrected and ensure the functional area is ready for a follow-up inspection.

(2) Ensure members of their command are aware of their right to communicate with the JCIG or an Assistant Inspector General (AIG).

(3) Ensure the “Rights of Civilian/Military to Present Complaints or Request Assistance” is posted in a common area and on an official unit bulletin board for all employees to see.

(4) Comply with [USMEPCOM Regulation \(UMR\) 1-201](#), USMEPCOM Inspection Policy.

f. MEPS/Battalion Commanders will:

(1) At a minimum implement and conduct Command Inspection Programs (CIP) twice yearly.

(2) Ensure deficiencies leading to a “Not-In-Compliance” rating during an IG inspection are corrected.

(3) Ensure the “Rights of Civilian/Military to Present Complaints or Request Assistance” is posted in a common area and on an official unit bulletin board for all employees to see.

(4) Comply with [UMR 1-201](#), USMEPCOM Inspection Policy.

#### **1-6. Role of the Joint Command Inspector General (JCIG) and Assistant Inspector General (AIG).**

a. Purpose. To inform Commanders and leaders of the role of the Joint Command Inspector General (JCIG) IAW [DoDI 5106.05](#), Combatant Command Inspectors General – Implementing Procedures, [UMR 1-201](#), and this UMR.

b. Information. The JCIG serves as a personal staff officer to the Commander of USMEPCOM and is charged with inquiring into and periodically reporting on the discipline, efficiency, economy, morale,



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training, and readiness throughout the command. The JCIG serves as an extension of the eyes, ears, and conscience of the USMEPCOM Commander.

c. **Mission.** As a member of the Commander's personal staff, the JCIG ensures a qualified military force by being the eyes, ears, voice and conscience of the USMEPCOM Commander in providing professional inspections and investigations and in offering assistance to military members, Federal employees, family members and other civilians. Additionally the JCIG will advise the USMEPCOM Commander on the state of the economy, efficiency, discipline, morale, esprit de corps, and other matters affecting mission accomplishment and sustain the community through the conduct of systemic inspections, inquiries, and investigations.

d. **Objective.** Focus on providing effective and accurate inspector general support to USMEPCOM. The JCIG performs this mission through four primary functions: Assistance, Investigations, Inspections, and Teaching and Training.

**1-7. Inspector General Personnel.** Sector and MEPS/Battalion Commanders are not authorized IG personnel. The USMEPCOM Commander, JCIG, or the individual military service's personnel office must nominate IG personnel. The Inspector General of each military service must approve nominations for military personnel. The DoD Joint IG School will assist in coordination of the military service nominations. Nominees must successfully complete the DoD Joint IG Course before assuming their duties as an Assistant Inspector General (AIG). New personnel permanently assigned to the USMEPCOM IG Office will be sworn in as Temporary Assistant IGs until they have successfully completed the DoD Joint IG Course. Personnel serving in any IG capacity must take the IG oath, administered by the JCIG, Deputy JCIG, or the USMEPCOM Commander.

## **Chapter 2**

### **Inspection Programs**

#### **2-1. Organizational Inspection Program.**

a. Purpose. IAW [UMR 1-201](#), the Headquarters, Sectors, and Battalions will have an Organizational Inspection Program (OIP), which includes Staff Assistance Visits (SAV). The MEPS will have a Command Inspection Program (CIP). The OIP is a means for the USMEPCOM Commander, Sector, Battalion Commanders to identify and correct deficiencies at their level. The JCIG and the Directorates execute the OIP at the USMEPCOM Headquarters through IG inspections and Directorate evaluations (e.g., the Command Supply Discipline Program (CSDP)). Sectors and Battalions will conduct SAVs and Individual Training Visits (ITV) as part of the OIP. The purpose of the CIP is for MEPS Commanders to identify and correct deficiencies. The CIP will help Commanders enhance efficiencies, assess, and improve the quality of their efforts and products. At a minimum, MEPS Commanders will conduct CIPs twice a year. The Commander must implement the CIP and have the direct involvement and support of the Sector and Battalion Commanders and staff. The Battalion Headquarters will not perform in a normal OIP role due to the lack of staffing.

b. USMEPCOM Inspector General Inspection checklists. The inspection checklists are an important element of the OIP. However inspection checklists are used as a guide and are not all inclusive. Checklists will be published separately on the USMEPCOM Intranet MEPNET. The inspection checklists are updated as required by the Chief of Inspections or JCIG, and regulatory changes in coordination with the HQ, USMEPCOM proponent. Documentation on the OIP evaluations must be maintained for two years.

c. OIP Coordinator. The USMEPCOM Commander will appoint an OIP Coordinator to synchronize all inspection trips. The OIP Coordinator helps de-conflict the MEPS with back to back visits. The OIP Coordinator will develop a master calendar that will assist the USMEPCOM Staff and other activities to ensure each MEPS gets a proper staff visit and inspection without the two conflicting or being within 90 days of each other.

#### **2-2. Inspector General Inspection Program.**

a. Inspection Function. A USMEPCOM IG inspection function is the process of conducting inspections, developing and implementing the inspection programs, and advising the USMEPCOM Commander, Sector Commanders, Battalion Commanders, MEPS Commanders and USMEPCOM staff on inspection policy. Inspection reports ensure the continuity of operations and provide a baseline for follow-up inspections, inspection planning, and trend analysis. Refer to [UMR 1-201](#), Appendix B for detailed inspection process and procedures.

b. Annual Inspection Plan. The Chief of Inspections will prepare and coordinate an inspection plan for each fiscal year. To develop this inspection plan, the Chief of Inspections will identify inspection possibilities, evaluate benefits expected from them, and then set priorities for projected inspections. This calendar is provided to the OIP Coordinator upon request. There are ways to identify possible topics for inspections (i.e., USMEPCOM Commander's guidance, the joint mission essential task list, trend analysis and input from functional staff proponents). Sectors and Battalions will provide SAVs upon request to the Inspections Chief in order to analyze checklist items and develop an inspection plan that best fits the Command or Sector (or Battalion).

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c. Goals of USMEPCOM IG Inspections. The Chief of Inspections must tailor the inspection to meet USMEPCOM Commander's requirements. The Inspections Chief must design inspections to collect information that will assist the USMEPCOM Commander in making decisions regarding areas to be inspected (i.e., HQ, USMEPCOM proponents, Sectors, Battalions, MEPS, and functional areas). The Inspections Chief and inspectors will identify noncompliance, determine the magnitude of the deficiency; seek the root cause; pursue systemic issues; teach systems, processes, and procedures; identify responsibility for corrective action; spread innovative ideas and train those inspected.

d. Inspection Purpose. The purpose of the IG inspection is to inspect processes, programs and procedures at the Directorate, Sector, Battalion, and MEPS level.

e. Inspection Frequency. The JCIG will conduct an inspection of each MEPS every two years. The Inspections Chief will coordinate with the Sector Headquarters and USMEPCOM OIP coordinator when scheduling these inspections.

f. SAVs for the Off-year. The Sectors/Battalions or Directorates will only conduct inspections or evaluations of the MEPS during the off year from the IG inspection. Sectors are not permitted to conduct SAVs within six months of an IG Inspection. This will ensure the results of the IG Inspection are the true work and sustained activities of the MEPS.

g. JCIG Determination. The JCIG will determine, through comprehensive IG Inspections of all functional areas, when a Directorate, Sector, Battalion, or MEPS is "In-Compliance" with DoD, DA, and USMEPCOM regulations and policies. The JCIG will consider:

- (1) The management of funds, material and personnel.
- (2) The effectiveness and timeliness of implementing appropriate directives.
- (3) MEPS initiatives to resolve problem areas.

h. Inspection Ratings. The ratings used by the JCIG will be "In-Compliance" or "Not-in-Compliance."

i. Not-In-Compliance Rating. When a MEPS receives an inspection rating of "Not-in-Compliance" in one or more functional areas, a staff assistance visit will take place from HQ, USMEPCOM or the appropriate Sector to improve the function(s). This will take place within 90 days following the IG general inspection.

j. Follow-up Inspection. The Inspections Chief will conduct an announced follow-up inspection of the "Not-In-Compliance" functional area after corrective action has been implemented, but no sooner than 90 days after the staff assistance visit from the appropriate Sector or proponent. The Inspections Chief may also conduct an unannounced follow-up inspection at the USMEPCOM Commander or JCIG's discretion.

k. Findings Report. Following an IG inspection, all findings identified in a specific functional area on the report will be addressed by the MEPS Commander in a memorandum through the respective Sector/Battalion Commander to the USMEPCOM Commander ATTN: MEIG-IN.

- (1) A link to the required memorandum is on the Inspection Checklist page on MEPNET.

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(2) The MEPS Commander will use the sample memorandum to address the corrective action taken on each finding in the inspection report that was not corrected before the conclusion of the IG inspection.

(3) The memorandum will be addressed to the USMEPCOM Commander through the respective Sector/Battalion Commander. The memorandum must be received not later than 60 days following the date of the final IG general inspection report.

1. Command Inspection Program. At the MEPS, the OIP is the Command Inspection Program (CIP). The purpose of the CIP is for MEPS Commanders to identify and correct deficiencies. The CIP will help Commanders enhance efficiencies and assess and improve the quality of their effort and product. At a minimum, MEPS Commanders will conduct CIPs twice a year.

**2-3. Special Inspections.** In addition to general MEPS inspections, the JCIG will also conduct special IG inspections of command interest items and other command-directed topics at MEPS, Sectors, Battalions, and Headquarters. Special inspections will be conducted at a limited number of MEPS and will not be used in lieu of or in conjunction with IG general inspections. It is possible that a MEPS will receive a general inspection and a special inspection during the same fiscal year. In most cases, a special inspection will take fewer days to conduct than a general inspection at each MEPS and will consist of a smaller inspection team. The number of special inspections each year will be limited due to the amount of time to implement the 17-step process to plan, train for, and execute the special inspection. Special inspections do not have ratings, the MEPS Commander will receive a verbal out brief, and the USMEPCOM Commander will receive a written report of the inspection results. Some inspections may be focused on compliance while others are used for information gathering and determining the root cause of systemic issues.

**2-4. [USMEPCOM Form \(UMF\) 20-1-3-R-E](#) (Post IG Inspection Survey).** The MEPS will be provided [USMEPCOM Form 20-1-3-R-E](#) to complete after the inspection. This form must be returned to the IG office within 30 days of receiving an inspection. The purpose of the survey is to obtain feedback from inspected MEPS in order to improve the IG inspection process. (See [Figure 2-1](#).)

**2-5. Automated Unit Climate Assessment Survey.** The JCIG or Inspections Chief may conduct a climate assessment survey for an inspection. The climate assessment will be emailed to each member of the MEPS approximately two weeks prior to the IG's arrival at the MEPS. The Inspections Chief will use the survey results as a tool, one of several means, to assess the morale, working environment, and training at the MEPS. This is not a report card nor will it be used to compare MEPS against each other.

**Figure 2-1. Example [UMF 20-1-3-R-E](#) Post IG Inspection Survey**

<b>POST INSPECTOR GENERAL INSPECTION SURVEY</b>	
(FOR USE OF THIS FORM, SEE USMEPCOM REGULATION 20-1)	
<b>PURPOSE:</b> To obtain feedback from MEPS personnel in order to improve the Organizational Inspection Program (OIP) for USMEPCOM; and, to give information on the inspection process.	
<b>DISPOSITION:</b> This form is reviewed by the Joint Command Inspector General (JCIG) as a means to ensure each inspection team meets the USMEPCOM Commander's intent for the OIP, as appropriate. Further dissemination is prohibited and the original will be maintained by the JCIG as a part of the inspection file.	
<b>Instructions:</b> Please answer the following question honestly. Your input is important to the JCIG for improving this program.	
1. Please indicate your MEPS: _____	
2. Was the recent IG Inspection conducted in a thorough and professional manner?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
3. Was Teaching and Training accomplished?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
4. Was the Teaching and Training provided by IG personnel effective and beneficial to you and your personnel in the performance of assigned duties?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
5. Were the Inspectors knowledgeable of their functional area?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
6. Did you receive a daily back brief from the Inspector or Team Chief?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
7. Did you use the USMEPCOM IG Checklist as a part of your CIP?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
8. Were all questions answered sufficiently during the inspection or did the Team Chief contact the Proponent and indicated a response will follow?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
9. What were some of the strengths of the IG Inspection?	
10. What were some of the weaknesses of the IG Inspection?	
11. What are some recommendations to improve the IG Inspection process?	
12. Please provide any additional comments or comments to questions 2 through 8.	
I sincerely thank you for your cooperation. Your input is important.  <div style="text-align: right;">Sincerely,</div> <div style="text-align: right;">Joint Command Inspector General United States Military Entrance Processing Command</div>	
Please return this survey to:	HQ, USMEPCOM, ATTN: JCIG 2834 Green Bay Road North Chicago, Illinois 60064  Or email: <a href="mailto:HQ-MIG@mepcom.army.mil">HQ-MIG@mepcom.army.mil</a>

**Figure 2-1. Example [UMF 20-1-3-R-E](#) Post IG Inspection Survey**

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## **Chapter 3**

### **Investigation and Assistance**

#### **3-1. Assistance Function.**

a. Providing Assistance. When individuals request assistance or express a complaint, the USMEPCOM IGs will open an assistance case and complete an Inspector General Action Request (IGAR) and conduct a preliminary analysis of the issue. This preliminary analysis consists of the Chief of Assistance and Investigations (A&I) deciding if the issue is appropriate for further action. If the A&I Chief determines the issue is appropriate for IG action, the A&I Chief will assist, investigate, or refer as required. If A&I Chief decides the issue has no merit, the case will be closed, as appropriate. The individual who requested assistance and raised the issue will be notified in writing unless it's a one minute Joint Staff Inspector General Action Request that doesn't require written notification. Refer to Appendix E for detailed assistance process and procedures.

b. USMEPCOM IG Teaching and Training. Teaching and training is not an independent function but is an integral part of the USMEPCOM IG functions of assisting, inspecting and investigating, and occurs during the course of USMEPCOM IG duties. IGs have a responsibility to teach and train everyone unfamiliar with how the IG system operates and on specific standards, responsibilities, processes, and systems related to non-IG activities. IGs by assignments, background, and training are in an ideal position to teach skills, provide information, and assess attitudes while assisting, investigating, and inspecting.

c. Intelligence Oversight by the USMEPCOM IG. USMEPCOM does not have Intelligence units and will not have an oversight program for the USMEPCOM IG to monitor.

d. USMEPCOM IG Wartime Responsibilities. The basic IG functions will remain the same in war and peace.

**3-2. [UMF 20-1-4-E](#) (USMEPCOM Inspector General Action Request (MIGAR)).** This form is used by anyone requesting assistance from the Office of the Inspector General. The [DA Form 1559](#), Inspector General Action Request, may be used as well. Individuals using these forms should completed them fully and, as appropriate, consent to the release of their information in order to resolve their issue. Individuals presenting allegations may request to withhold their identity and complete either form, as appropriate. (See [Figure 3-3](#).)

**3-3. USMEPCOM Inspector General (IG) Records.** The USMEPCOM IG records are protected documents that contain sensitive information and are the property of the Department of Defense. The USMEPCOM Commander is responsible for the protection of USMEPCOM IG records in the command's system of records. Unauthorized use or release of USMEPCOM IG records can seriously compromise the USMEPCOM IG's effectiveness as a trusted advisor to the USMEPCOM Commander and violate DoD confidentiality policy. The USMEPCOM IG records will be protected as described in the following paragraphs.

a. Unclassified USMEPCOM IG Records. All unclassified USMEPCOM IG records which may be exempt from release under the Freedom of Information Act (FOIA) will be marked "For Official Use Only" (FOUO). The abbreviation "FOUO" is used to designate unclassified portions that contain information that may be exempt from mandatory release to the public under [DoDD 5400.07](#), Freedom of Information Act (FOIA) Program, as appropriate.



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b. Classified USMEPCOM IG Records. USMEPCOM IG records that become classified during an inspection or investigation are classified, protected, and declassified according to applicable DoD guidelines for classification in [DoDI 5200.01](#), DoD Information Security Program and Protection of Sensitive Compartmented Information.

c. USMEPCOM IG Correspondence. If USMEPCOM IG correspondence is required by DoD Directives (or other authority approved by the SJA) to leave USMEPCOM IG control, originals and all copies of USMEPCOM IG correspondence (such as replies to correspondence or letters to Members of Congress) are given protective markings and treatment. Congressional correspondence requests may have special requirements for markings. Refer to [DoDI 5200.01](#) for appropriate markings.

**3-4. USMEPCOM Inspector General (IG) Internal Document Management.** The USMEPCOM internal document management requires that all documents are marked in accordance with [Chairman of the Joint Chiefs of Staff Manual \(CJCSM\) 5760.01A](#), Joint Staff and Combatant Command Records Management Manual: VOLUME I—Procedures. Other DoD issuances that apply to the maintenance of records are [DoDI 5200.01](#) and [DoD 8910.1-M](#), DoD Procedures for Management of Information Requirements.

**3-5. Disposition of USMEPCOM Inspector General (IG) Records.** Disposition of USMEPCOM IG records will be according to the [DoDD 5106.04](#), Combatant Command Inspectors General, and the [DoDI 5106.05](#), paragraph E3.9.

a. USMEPCOM IG Records Release. The USMEPCOM Commander is the release authority and initial denial authority for all USMEPCOM IG records and may delegate USMEPCOM IG records release authority to the JCIG. USMEPCOM IG records will be released only with the approval of the USMEPCOM Commander or JCIG, in accordance with [DoDI 5106.05](#), paragraph E3.9.2. USMEPCOM IG records should only be disclosed inside DoD to those requiring access to the records in the performance of their official duties. Usually, information related to open cases or investigations will not be released outside IG channels. The SJA will be consulted on all USMEPCOM IG records release issues.

b. Request for Records Release of IG Records. All requests for an IG record must be submitted in writing to the USMEPCOM Commander or JCIG. The requests by other than a Commander or SJA must be submitted through (as evidence by endorsement) higher headquarters of the Service to which the requestor belongs for a determination of the appropriateness of the request. The requester must identify the records requested (i.e., date of investigation, name of Investigative Officer, etc.), state the reason for the request, and specify how the records will be used. Only copies of reports or other documents may be provided to satisfy requests by other Inspectors General or any other organization external to the command. The original case file will not be released outside of USMEPCOM. Reports and underlying documentation need not be redacted when provided for official use and the appropriate system of records notice permits the dissemination of such information. However, in order to protect the confidentiality of the witnesses within the limits of regulation or law (who in many cases are subordinates of the subject), reports of investigations issued outside USMEPCOM will not include interview transcripts, other source-sensitive information, and will be redacted, as appropriate. The USMEPCOM IG will consult with USMEPCOM SJA regarding this type of request.

c. Congressional and Special Inquiries Request for IG Records. Congressional requests for IG record or documents will be referred to USMEPCOM IG. A written request is required. Since IG records belong to the USMEPCOM Command and are release by the JCIG, as appropriate, the JCIG will process

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all requests for records from Congressional members in accordance with [DoDI 5106.05](#), paragraph E3.9.2.2.

d. Release of USMEPCOM IG Records to the News Media. All requests for USMEPCOM IG records from the news media will be transferred to the JCIG. USMEPCOM personnel will not provide USMEPCOM IG records directly to a member of the media. The standard USMEPCOM response is that the USMEPCOM IG neither confirms nor denies the existence of any inquiry or investigation. The USMEPCOM IG staff will advise the caller/requester that they are unable to comment on the requested matter (or words to that effect) and advise the caller/requester to contact the JCIG. No record will be released to the media except those items subject to FOIA and properly released by the USMEPCOM Commander or the JCIG which must be in writing.

e. Requests for Records in Conjunction with Legal Proceedings. The USMEPCOM IG will expeditiously consult the USMEPCOM's SJA regarding all requests for USMEPCOM IG records that are in conjunction with legal proceedings.

f. Requests Submitted under FOIA and the DoD Privacy Program. The USMEPCOM IG records will be released to the public as required by the [DoDD 5400.07](#), DoD Freedom of Information Act (FOIA) Program, and [DoDD 5400.11](#), Department of Defense Privacy Program. Requests for USMEPCOM IG records covered by these programs must be processed by the Chief of Assistance and Investigations and further approved for release by the JCIG or USMEPCOM Commander. The requestor must be specific and note that the requestor is requesting IG records. These records are not a part of the normal release process and are not processed by the Command FOIA representative.

g. Use of USMEPCOM IG Records for Adverse Action. The USMEPCOM IG records may be used as the basis for adverse action against military or civilian personnel by the USMEPCOM Commander. If such use is requested by a subordinate Commander, he will submit a written request to the USMEPCOM Commander or the JCIG for their review, in consultation with USMEPCOM's SJA. When USMEPCOM IG records are to be used as the basis of an adverse action, the JCIG will release any or all documentary evidence and testimony, as appropriate. The JCIG opinions, conclusions, analysis, and recommendations may be used as evidence. Commanders and USMEPCOM IGs should consult with the USMEPCOM's SJA.

h. Restrictions for Use of USMEPCOM IG Records. The following restrictions apply to all USMEPCOM IG records requested for official use by individuals, commands, or DoD agencies and will be so stated in the transmittal letter to the recipient.

(1) Incorporation of USMEPCOM IG Records. The USMEPCOM IG records remain the property of the Department of Defense while under the control of the USMEPCOM Commander and JCIG. Unless required by law or regulation, recipients of USMEPCOM IG records, or any portions thereof, will not incorporate USMEPCOM IG records into any other system of records without written approval of the USMEPCOM Commander or the JCIG.

(2) Reproduction Authority for USMEPCOM IG Records. The USMEPCOM IG records will not be reproduced or further disseminated without specific permission of the USMEPCOM Commander or designee, who may provide permission in the transmittal letter if appropriate.

(3) Attaching USMEPCOM IG Records as Exhibits. Use or attachment of USMEPCOM IG records as exhibits or enclosures to records of other DoD offices or agencies is not authorized without written approval of the USMEPCOM Commander or JCIG.



[TOC](#)**3-6. Qualifications for USMEPCOM Joint Command Inspector General and Assistant Inspectors General Assignment.** All USMEPCOM IGs must meet the following requirements.

a. Joint Command Inspector General (JCIG). The JCIG will be a GS-14/15, or O-6 equivalent. The JCIG must complete the DoD Joint IG School before becoming the Command Inspector General. This individual will be approved by the USMEPCOM Commander. This individual must be able to obtain a SECRET security clearance.

b. Deputy Joint Command Inspector General (DJCIG). The DJCIG will be equal to or one grade below the JCIG. The DJCIG must complete the DoD Joint IG School before becoming the Deputy Command Inspector General. This individual will be approved by the USMEPCOM Commander or the JCIG. This individual must be able to obtain a SECRET security clearance.

c. Assistant Joint Command Inspectors General. All Assistant Joint Command Inspectors General (or Assistant IGs) must complete DoD Joint IG School before becoming an Assistant IG. Assistant IGs will be officers in the grades of O-4 or above, civilians in the grades of GS-11 or above, or non-commissioned officers in the grades of E-7 or above. The minimum officer grade authorized for USMEPCOM is O-4. Exceptions to this policy must be approved in writing by DoD IG. These individuals must be able to obtain a SECRET security clearance.

**3-7. USMEPCOM Inspector General Certification.** Individuals who perform an Inspector General role will complete the DoD Joint IG School before beginning their duties. USMEPCOM IGs must maintain their proficiency and good standing to continue to serve as an Inspector General. Only the USMEPCOM Commander or the JCIG can decertify a USMEPCOM IG. Once an IG is decertified, the JCIG must notify the respective service, as appropriate.

**3-8. Authorized Access to Records and Systems.** USMEPCOM IGs are authorized expeditious and unrestricted access to, and copies of all records, record systems, automated systems, electronic databases, reports, investigations, audits, reviews, documents, papers, recommendations or other available materials. These documents, systems, and materials include protected data. Some examples are classified documents within the limits of the USMEPCOM IGs' security clearance/special access, records of board proceedings, acquisition information, medical records, medical quality assurance records, drug and alcohol records, financial records, evaluation reports, back-channel messages, security dossiers, criminal investigation reports, copies of restricted personnel files, and financial disclosure statements. This authority will include direct access to pertinent extracts under applicable regulations. The USMEPCOM IGs must present proof upon request, to the satisfaction of the responsible security personnel, of their security clearance or special access to review classified documents. Additionally, USMEPCOM IGs must present sufficient justification to the record holder to obtain sensitive records.

**3-9. Protection of Confidentiality.** The USMEPCOM IG has a duty to protect subject/suspect's and complainant's identity and other information as much as possible. The intent is to protect individual privacy, maintain confidence in the USMEPCOM IG system, and minimize the risk of reprisal or the inadvertent disclosure of information thus creating rumors and falsely accusing innocent individuals. The USMEPCOM IGs will not disclose a complainant's or witnesses' identity without the complainant's/witnesses' consent; unless the USMEPCOM IG determines such disclosure is unavoidable during the course of the investigation or inquiry.

a. Protection of Witness or Interviewee Identity. When a witness or interviewee requests protection of his/her identity, and the statement furnished by the witness or interviewee is not filed in a system of records covered by [DoDD 5400.11](#), the IG will take measures to protect their identity.

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b. Request for Identity Protection. When a witness or interviewee requests protection of his/her identity, and the statement furnished by the witness or interviewee is filed in an exempt system of records covered by [DoD 5400.11](#), the IG may expressly promise that their identity will be protected. Such a pledge, however, will only be given when the information to be furnished by the witness or interviewee is considered essential for the purpose for which the information is sought.

c. Confidentiality of the Complainant or Witness. All requests for protection of the individual's identity will be prominently documented in the case file and subsequent use of the person's name will be minimized in any file or record created by the IG. Refer to the person as a "complainant," "witness," or similar identifier instead of using the name to facilitate confidentiality.

**3-10. Conflicts of Interest, Impartiality, and Integrity.** In order to preclude conflicts of interest, to maintain impartiality, and to protect the integrity of the IG system, USMEPCOM IGs will adhere to the prohibitions in this regulation. These prohibitions are not all inclusive but a guide to protect the impartiality and judgment of the IG.

**3-11. Prohibition Regarding Establishing Command Policy.** The USMEPCOM IGs will avoid establishing command policy except as provided in this regulation, [UMR 1-201](#). The USMEPCOM IGs have no directive authority outside USMEPCOM IG channels beyond that normally associated with their grade. Additional authority must come from the USMEPCOM Commander. This prohibition does not preclude USMEPCOM IG involvement in the policy formulation staffing process. The USMEPCOM IGs may inform proponents about conflicts in regulatory or policy guidance and comment on policies and procedures.

**3-12. Association with Individuals or Organizations.** All USMEPCOM IGs are cautioned against association with individuals or organizations that may cause a person to question the impartiality or objectivity of the IG.

**3-13. USMEPCOM Inspector General Assignment to Non-Inspector General Assistance Functions.** The USMEPCOM IGs will not be assigned to any non-IG assistance or evaluative functions.

a. USMEPCOM IG Appointment as Uniform Code of Military Justice (UCMJ) Investigation. USMEPCOM IGs will not be appointed as an investigating officer under Article 32 and 138 of [Title 10, United States Code](#), Uniform Code of Military Justice, or other regulations providing for the appointment of investigating officers, or as a member of administrative separation boards. Investigation performed for the Command will be executed under the provisions of [DoDI 5106.05](#) and the DoD Joint IG Concept and Systems Guide, Section 3.5, paragraph 2a(2).

b. Duties that Disqualify a USMEPCOM IG. USMEPCOM IGs will not be assigned duties that may subsequently disqualify them from making, or assisting in, impartial inquiries or investigations within their sphere of activity. Examples include staff duty officer or noncommissioned officer, line-of-duty investigator, member of an awards board, funeral detail, color guard, or any committee or function unless directly related to USMEPCOM IG matters.

c. USMEPCOM IG Coordination. The JCIG will maintain working relationships and networking channels with other military and Federal IGs, as appropriate. The JCIG reporting relationship does not preclude the JCIG from supporting other IGs, including the DoD IG, the Joint Staff IG, Military Service IGs, DoD Agency IGs, or other U.S. Federal Government IGs.

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(1) The Assistance and Investigations Program is designed to help the military and civilian personnel of USMEPCOM. Any member of the command may present complaints or requests for assistance to an IG or anyone in the IG office to help resolve individual problems and enhance mission accomplishment. Personnel requesting IG assistance must complete a DA Form 1559, Inspector General Action Request (IGAR) or the [UMF 20-1-4-E](#) USMEPCOM Inspector General Action Request (MIGAR).

(2) Military and civilian personnel are encouraged to use their immediate chain of command for resolving problems before contacting an IG. Direct communication with an IG is authorized. However, complaints or requests for assistance can usually be resolved using the chain of command.

(3) Military and civilian personnel assigned to a Sector, Battalion, or MEPS desiring assistance may contact an IG during an IG inspection. Personnel may contact the JCIG at anytime, in writing, at: Headquarters, USMEPCOM, ATTN: MEIG-AI, 2834 Green Bay Road, North Chicago, IL 60064-3091, or by telephone: (847) 688-2448. The IG action officer frequently requires written documentation to support telephone requests for assistance.

(4) Commanders will post guidance on how to present military and civilian complaints, grievances, or requests on official bulletin boards. The guidance must contain, verbatim, the information provided in the examples of memorandum in figures [3-1](#) and [3-2](#) at the end of this chapter. Commanders will ensure official bulletin boards contain DoD hotline information as provide in [table 3-1](#). Headquarters, USMEPCOM, Sectors, Battalions, and MEPS may order DoD hotline posters. (Requesters may order DoD hotline posters by telephone or fax; contacts in [table 3-1](#)).

<b>Table 3-1</b>			
<b>DoD Hotline Contacts (For Reporting Fraud, Waste, or Abuse)</b>			
Telephone	Fax	E-Mail	Write
Toll free: 1-800-424-9098 DSN: 664-8799 Comm: (703) 604-8799	Comm: (703) 604-8567 DSN: 664-8567	hotline@DODig.osd.mil	Defense Hotline The Pentagon Washington, D.C. 20301-1900
Note: Identities of callers or writers are fully protected.			

(5) The confidentiality of persons contacting the IG will be protected to the maximum extent possible. It may be breached if required by law or regulation, or by direction of JCIG. An IG cannot guarantee confidentiality in cases when the name of the person requesting assistance is required to respond appropriately to the request; however, the requester will be advised beforehand.

(6) The JCIG is a designated representative of the Commander, USMEPCOM. Confidentiality must be maintained to ensure free exchange of information between USMEPCOM IGs and members of the command. The Commander, USMEPCOM, or the JCIG will inform Sectors, Battalions, and MEPS Commanders of cases as deemed appropriate.

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(7) In specific cases when serious allegations have been made, or extensive data or research is required to obtain accurate information, the Commander, USMEPCOM, may direct an official IG investigation.

(8) USMEPCOM IG will maintain completed assistance case files or not substantiated case files for a period of three years.

### **3-14. Inquiries and Investigations**

a. Investigations. Before starting an investigation, the IG opens a case and conducts preliminary analysis of the complaint. This preliminary analysis consists of the IG deciding if the complaint is appropriate for further IG action. If the IG determines a case is IG appropriate, then the IG will consult with the Command Staff Judge Advocate (SJA) to determine what, if any action has been taken. If the IG and SJA decide further action is required, the IG will investigate, refer, transfer, or close the case. The complainant will be notified (if known) in writing. Refer to [Appendix G](#) for detailed investigations process and procedures.

b. Determination of Appropriateness. If the IG determines that the complaint contains adequate information to warrant further action, possible courses of action in processing the allegation are: Clarifying the allegation, acknowledging the receipt of the allegation, dismissing the allegation, determining if the allegation is appropriate for the USMEPCOM IG, referring the allegation to the appropriate agency or other IG office, or investigating the allegation and documenting the results.

c. Basic Steps of the IG Process – Nine Basic Steps of an IG Investigation. The nine basic steps of an IG Investigation are:

- (1) notify appropriate parties and authorities,
- (2) assign an IG to investigate the matter,
- (3) conduct fact-finding,
- (4) complete the report,
- (5) obtain a legal review,
- (6) submit the report to the approving authority,
- (7) make notifications of the results,
- (8) conduct follow-up,
- (9) close the complaint or allegation.

d. Allegation Against a USMEPCOM IG. An allegation against a USMEPCOM IG is submitted to the DoD IG for action. The DoD IG, after consultations with the SJA, will inquire, investigate or refer the case to an IG office with direct reporting to the DoD IG.

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e. Military Service Notification of Results of Allegations. The USMEPCOM IG will notify the respective Military Service of initiation and completion of investigative actions in accordance with Military Service requirements.

f. Allegations Against Senior Officials. The USMEPCOM IGs will not process allegations against senior military officials and senior executive service employees of the Department of Defense in

accordance with [DoDI 5106.05](#). The JCIG or A&I Chief will inform DoD IG and the appropriate service component. The JCIG and appointing authority must be particularly sensitive to the requirements for proper handling and notification of allegations against senior officials. Under no circumstances will USMEPCOM IGs investigate senior military officials, to include the USMEPCOM Commander, and senior executive service employees (O-7 selects/O-6 promotable and above or SES personnel) but will refer the case to the DoD IG with an information copy to the respective service, as appropriate.

g. DoD Hotline Program. The USMEPCOM IGs will comply with [DoDI 7050.01](#), Defense Hotline Program. The DoD Hotline cases will be provide to the A&I Chief for proper processing.

h. Record Retention. The Chief of A&I will maintain a copy of investigations and inquiries with no substantiated allegations for a period of three years. Investigations and inquiries with substantiated allegations will be maintained for a period of 30 years.

[TOC](#)**Figure 3-1. Example notice memorandum of rights of military personnel to present complaints**

(LETTERHEAD)	
(OFFICE SYMBOL)	(DATE)
MEMORANDUM FOR ALL MILITARY PERSONNEL	
SUBJECT: Rights of Military Personnel to Present Complaints or Request Assistance	
<p>All military personnel have the right to present complaints, grievances, or requests for assistance to the United States Military Entrance Processing Command (USMEPCOM) Joint Command Inspector General (JCIG).</p> <p>Before contacting the USMEPCOM JCIG (by telephone, letter, facsimile, e-mail, or in person), you must first consider whether your concerns could be more quickly and simply addressed through your chain of command. You do not have to present your concerns to your chain of command before contacting the USMEPCOM JCIG; however, you must have permission to be absent from your duties if you wish to contact the USMEPCOM JCIG during your duty hours. You do not have to tell anyone why you want to visit the USMEPCOM JCIG.</p> <p>You may contact the USMEPCOM JCIG at:</p> <p>Name: USMEPCOM Joint Command Inspector General  Office hours: 0700-1600  Room: 125  Address: 2834 Green Bay Road, North Chicago, IL 60064-3091  Telephone: DSN 792-2448/3680, extension 7167, or commercial (847) 688-3680, extension 7167, or our Hotline number (847) 688-2448</p> <p>If you believe the IG response is not fair, complete, or in IAW established DoD and USMEPCOM policies; or if you believe your interests may be jeopardized by contacting the USMEPCOM JCIG, you may write or call the DoD Inspector General (DoD IG) hotline. The DoD IG telephone number is 1-800-429-9098.</p> <p>Issues or concerns involving discrimination based on race, color, national origin, gender, religion or sexual harassment may be directed to the respective sector or command Equal Opportunity Assistant at DSN 792-3680, extension 7537, or commercial (847) 688-3680, extension 7537 or the EO hotline, 800-440-9436.</p> <p>DoD personnel are prohibited from taking any action that restricts you from filing a complaint, seeking assistance, or cooperating with the IG. They are also prohibited from taking any disciplinary or adverse action against you for filing a complaint, seeking assistance, or cooperating with the IG. However, if you lie or knowingly make false accusations to the IG, you are subject to disciplinary action.</p>	
Commander's signature block	

**Figure 3-1. Example notice memorandum of rights of military personnel to present complaints**

[TOC](#)**Figure 3-2. Example notice memorandum of rights of civilian employees to present complaints**

(LETTERHEAD)	
(OFFICE SYMBOL)	(DATE)
<b>MEMORANDUM FOR CIVILIAN EMPLOYEES AT USMEPCOM</b>	
<b>SUBJECT: Rights of Civilian Employees to Present Complaints or Request Assistance</b>	
<p>All civilian employees have the right to present complaints, grievances, or requests for assistance to the United States Military Entrance Processing Command (USMEPCOM) Joint Command Inspector General (JCIG).</p> <p>Before contacting the USMEPCOM Joint Command JCIG (by telephone, letter, facsimile, e-mail, or in person), you must consider whether your concerns can be addressed quicker and simpler by first referring them to your immediate supervisor, or by using one of the procedures below.</p> <p>Civilian personnel regulations prescribe procedures for civilian employees in submitting complaints that pertain solely to civilian employment matters. These include complaints on such personnel actions as reductions in force, removals, disciplinary measures, and similar actions. If you want to submit this kind of complaint, contact your local civilian personnel officer who will give you information about pertinent regulations and tell you the procedures to follow. However, if you are a member of a recognized bargaining unit, and there is a negotiated grievance procedure, you must file your complaint concerning employment matters by following these procedures. If you want to submit a complaint about discrimination in employment because of race, color, religion, sex, age, national origin, or handicap condition, contact the local servicing equal employment opportunity office, or the USMEPCOM Equal Employment Opportunity Officer at DSN 792-3680 extension 7539, or commercial (847) 688-3680 extension 7539.</p> <p>If you have a complaint about matters other than civilian employment, or a complaint about violations of policies or procedures in processing complaints about personnel actions, and feel your complaint has not been resolved by your supervisor, you may contact the USMEPCOM Joint Command Inspector General at:</p> <p>Name: USMEPCOM Joint Command Inspector General Office hours: 0700-1600 Address: 2834 Green Bay Road, Room 125, North Chicago, IL 60064-3091 Telephone: DSN 792-3680, extension 7167               Commercial (847) 688-3680, extension 7167               Hotline number (847) 688-2448</p> <p>If you believe the USMEPCOM Joint Command IG response is not fair, complete, or IAW DoD and USMEPCOM policies; or if you believe your interests may be jeopardized by contacting the USMEPCOM Joint Command IG, you may write or call the DoD IG hotline. The DoD IG telephone number is 1-800-429-9098.</p> <p>You may report complaints about hazardous work conditions (unsafe or unhealthy) IAW procedures listed in DD Form 2272 (DoD Occupational Safety and Health Protection Program). This form may be obtained at <a href="http://www.dtic.mil/whs/directives/infomgt/forms">http://www.dtic.mil/whs/directives/infomgt/forms</a></p>	

**Figure 3-2. Example notice memorandum of rights of civilian employees to present complaints**



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**Figure 3-2. Example notice memorandum of rights of civilian employees to present complaints  
(Continued)**

DoD personnel are prohibited from taking any action that restricts you from filing a complaint, seeking assistance, or cooperating with an IG. They are also prohibited from taking any disciplinary or adverse action against you for filing a complaint, seeking assistance, or cooperating with the USMEPCOM JCIG. However, if you lie or knowingly make false accusations to the USMEPCOM JCIG, you are subject to disciplinary action.

Commander's signature block

**Figure 3-2. Example notice memorandum of rights of civilian employees to present complaints  
(Continued)**



[TOC](#)**Figure 3-3. Example [UMF 20-1-4-E](#) USMEPCOM Inspector General Action Request**

USMEPCOM INSPECTOR GENERAL ACTION REQUEST		
(For use of this form, see USMEPCOM Regulation 20-1)		
<p align="center"><b>DATA REQUIRED BY THE PRIVACY ACT OF 1974</b></p> <p><b>AUTHORITY:</b> The Inspector General Act of 1978, as amended, 5 USC App. 3, SS 4(a)(1) and 4(b)(1) and Public Law No. 106-553 (Dec 21, 2000)</p> <p><b>PRINCIPAL PURPOSE:</b> To secure sufficient information to inquire into the matters presented and to provide a response to the requestor(s) and/or take action to correct deficiencies</p> <p><b>ROUTINE USES:</b> Information is used for official purposes within the Department of Defense, to answer complainants or respond to requests for assistance, advice, or information; by Members of Congress and other Government agencies when determined by The Inspector General to be in the best interest of the Defense and in certain cases, in trial by courts-martial and other military matters as authorized by the Uniform Code of Military Justice. Department of Defense Blanket Routine Uses also apply.</p> <p><b>DISCLOSURE:</b> Disclosure of the social security number and other personal information is voluntary, however, failure to provide complete information may hinder proper identification of the requestor, accomplishment of the requested action(s), and response of the requestor.</p>		
1. NAME (Last, First, MI)	2. GRADE/RANK	3. SSN (as required)
4. STATUS	5. COMPONENT	6. LOCATION
<b>7. FOR OFFICIAL USE BY USMEPCOM INSPECTOR GENERAL</b> <input type="checkbox"/> Command Administration <input type="checkbox"/> Processing <input type="checkbox"/> Medical <input type="checkbox"/> Other <input type="checkbox"/> Testing		<b>9. UNIT/ORGANIZATION/HOME ADDRESS</b>  <b>10. PREFERRED MAILING ADDRESS (if different from above)</b>
8. CONTACT TELEPHONE NUMBER (Duty, home, and/or cell)		
11. PREFERRED CONTACT TELEPHONE NUMBER		
12. E-MAIL ADDRESS		
13. SPECIFIC ACTION REQUESTED (What do you want the IG to do for you?)		
14. INFORMATION PERTAINING TO THIS REQUEST (Background, documents, persons spoken to about this matter, etc.)		
<input type="checkbox"/> ANONYMOUS (If you elect this status, do NOT provide your name or other personal identifying information) <input type="checkbox"/> CONSENT TO DISCLOSURE (I consent to disclosure of my identity outside official channels on a need-to-know basis) <input type="checkbox"/> NON-CONSENT TO DISCLOSURE (I do not consent to the disclosure of my identity outside official channels)		
<small>This information is submitted for the basic purpose of requesting assistance, correcting injustices affecting the individual, or eliminating conditions considered detrimental to the efficiency or reputation of this command. Those who knowingly and intentionally provide false statements in this complaint are subject to potential punitive and administrative actions (UCMJ Art 107, 18 USC 1001, and AR 690-700, Chapter 751.)</small>		
15. DATE	16. SIGNATURE	17. CASE NUMBER (Assigned by Joint IG)

USMEPCOM Form 20-1-4-E, OCT 2012

**Figure 3-3. Example [UMF 20-1-4-E](#) USMEPCOM Inspector General Action Request**

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## **Chapter 4**

### **Internal Control and Internal Review**

**4-1. Internal Control Evaluation Checklists.** Internal Control Evaluation Checklists prescribed in Appendices [C](#) and [D](#) do not supersede or rescind information in any stand-alone proponent checklist published on the MEPNET. [DA Form 11-2](#) (Internal Control Evaluation Certification) will be used to document internal control evaluations. For additional information on internal control, see [AR 11-2](#), Mangers' Internal Control Program.

**4-2. Internal Control and Internal Review.** The USMEPCOM internal control process meets the requirements in [AR 11-2](#). The USMEPCOM Internal Review and Audit Compliance Program meets the requirements and standards of [AR 11-7](#), Army Internal Review Program. The Chief of A&I or DJCIG will certify the Internal Control process by preparing the [DA Form 11-2](#).

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**Appendix A**  
**References**

**Section I**  
**Publications referenced in or related to this regulation**

**AR 1-201**  
Army Inspection Policy

**AR 11-2**  
Managers' Internal Control Program

**AR 11-7**  
Internal Review and Audit Compliance Program

**AR 20-1**  
Inspector General Activities and Procedures

**CJCSI 5901.01B**  
Joint Staff Inspector General Responsibilities, Procedures, and Oversight Functions

**CJCSM 5760.01A**  
Joint Staff and Combatant Command Records Management Manual: VOLUME I—Procedures

**Department of the Army Inspector General Assistance and Investigations Guide**

**DoD 5400.11**  
Department of Defense Privacy Program

**DoD 8910.0-M**  
Procedures for Management of Information Requirements

**DoDD 5106.04**  
Combatant Command Inspector General

**DoDD 5400.07**  
Freedom of Information Act (FOIA) Program

**DoDD 5505.06**  
Investigations of Allegations Against Senior Officials of the Department of Defense

**DoDD 6490.1**  
Mental Health Evaluations of Members of the Armed Forces

**DoDD 7050.6**  
Military Whistleblower Protection

**DoDI 5106.05**  
Combatant Command Inspector General – Implementing Procedures

**DoDI 5200.01**  
DoD Information Security Program and Protection of Sensitive Compartmented Information

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**DoDI 7050.01**

Defense Hotline Program

**Joint Inspector General Assistance Guide**

**Joint Inspector General Concept and Systems Guide**

**Joint Inspector General Investigation Guide**

**UCMJ**

Uniform Code of Military Justice

**UMR 1-201**

USMEPCOM Inspection Policy

**UMR 20-1**

Inspector General Inspection Program

**UMR 380-1**

USMEPCOM Security Program (restricted distribution)

**UMR 385-1**

Safety and Occupational Health Program

**Section II**

**Forms referenced in or related to this regulation**

**DA Form 11-2**

Internal Control Evaluation Certification

**DA Form 1559**

Inspector General Action Request

**DD Form 2272**

Occupational Safety and Health Protection Program

**USMEPCOM Form 20-1-3-R-E**

Post Inspector General Inspection Survey

**USMEPCOM Form 20-1-4-E**

USMEPCOM Inspector General Action Request

**Section III**

**Record Numbers/Disposition Instructions**

For Record Numbers and Disposition Instructions, if applicable, contact your local Records Manager.

[TOC](#)**Appendix B**  
**Organizational Inspection Program (OIP) Guidelines**

**B-1.** The OIP is a structured plan that can be realistically accomplished with the assets available to a specific Military Entrance Processing Station (MEPS). The OIP is a tool to regularly evaluate USMEPCOM and its units. The OIP helps measure the effectiveness of an organization or process and will help identify discrepancies and inefficiencies before they become problems. It is recommended the Sector Commanders establish their own OIP to monitor and support the CIPs of the MEPS in their sectors. More information concerning CIPs is available in [UMR 1-201](#).

**B-2.** The CIP must include, but is not limited to, the following elements:

a. Direct Command Involvement. Leaders must demonstrate interest, support, and involvement in the process.

b. Total Involvement. Each member of the organization, regardless of rank, grade, or position, must be involved in the process. Each member must be encouraged and empowered to assess, criticize, correct deficiencies and inefficiencies, and suggest improvements to current policies and procedures.

c. A Structured Plan. It is a document that clearly outlines the purpose and goals of the CIP or OIP. The document will include a schedule and specific information on how the MEPS, Sector leaders will be trained to conduct inspections and how inspections will be executed.

d. A Critical Objective Evaluation. Inspectors must ask in-depth questions during inspections; checking off a checklist is not a complete evaluation. A full demonstration of any required unit or process must be required during the inspection. *Note: To avoid conflict of interest, the inspector will not have a vested interest in the inspection results.*

e. A cyclic Schedule. The CIP is not a crisis-management program and will not be tied to any external inspection or evaluation. Commanders will ensure that designated MEPS personnel evaluate each section or functional area at least twice yearly.

f. Cause Identification. When discrepancies or deficiencies are found, Commanders will ensure the appropriate training, education, and resources are used to correct the cause and not just simply fix the error.

g. Use of Inspection Results with other Evaluations. IG inspections, staff assistance visits, training assistance visits, Command Logistics Evaluation and Assistance Program, management assistance training team visits, quality assurance reviews, and records management reviews combined with the CIP results will provide an accurate assessment of what needs command attention and how best to use technical support, training assets, and resources. External evaluations and investigations validate the CIP process and assist in identifying and resolving deficiencies that could impede mission accomplishment.

[TOC](#)**Appendix C**  
**Internal Control Evaluation Checklist—MEPS**

**C-1. Function.** This checklist is for MEPS Commanders and personnel.

**C-2. Purpose.** The purpose of this checklist is to assist IG personnel in evaluating the following key internal controls. It is not intended to cover all controls.

**C-3. Instructions.** Answers must be based on the actual internal controls (e.g., document analysis, direct observation, sampling, simulation). Answers that indicate deficiencies will be explained and corrective action indicated in supporting documentation. Internal controls must be evaluated at least once every 5 years. Certification of the evaluation will be on [DA Form 11-2](#), Internal Control Evaluation Certification.

**C-4. Test questions.**

a. Command Inspection Program.

- (1) Has an internal control evaluation been established/accomplished?
- (2) Are the Internal Control Evaluation Checklists used as part of the CIP?
- (3) Are governing directives, past IG reports, quality assurance reports, records management reviews, and staff assistance visit records reviewed as part of the CIP?
- (4) Are inspections conducted at least twice yearly?
- (5) Have inspectors been properly trained to evaluate the areas they are inspecting and is the training documented?
- (6) Is a [DA Form 11-2](#) being used to document all inspections being conducted?

b. Post inspection.

- (1) Are controls established for taking corrective action on noted findings?
- (2) Is the IG inspection report used to begin the corrective action?
- (3) Are corrective or closure actions verified through the CIP?
- (4) Are IG records protected from release?

c. Assistance.

- (1) Are procedures established to ensure assigned personnel are aware of the proper channels for requesting assistance from the USMEPCOM IG or civilian agencies, as applicable?
- (2) Are the memorandums explaining the rights of military and civilian personnel to present complaints or request assistance clearly posted on official bulletin boards?
- (3) Is the DoD hotline information clearly posted on official bulletin boards?

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**C-5. Comments.** Users may submit comments to Headquarters, USMEPCOM, ATTN: MEIG-AI, 2834 Green Bay Road, North Chicago, IL 60064-3091.

**C-6. Use of [DA Form 11-2](#).** [DA Form 11-2](#) is designed to document any internal control evaluation. Evaluations at the MEPS must be documented on this form. Fill in the appropriate blocks, as needed. The assessable unit is the MEPS section or topic reviewed (e.g., processing, medical, pre-enlistment interview, drug and alcohol testing, Human Immunodeficiency Virus, temporary duty). The methodology used to conduct the evaluation(s) could be the [DA Form 11-2](#) (in the prescribing regulation) or whatever method used to review the area listed in block 3 of the form. Block 6 lists who completed the evaluation and when it was conducted. Block 7 is self-explanatory. Block 8 is completed by the person in charge of the area evaluated.

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## **Appendix D**

### **Internal Control Evaluation Checklist—Inspector General**

**D-1. Function.** The function covered by this checklist is Inspector General (IG) operations.

**D-2. Purpose.** The purpose of this checklist to assist the IG in evaluating the key internal controls identified below. It is not intended to address all controls.

**D-3. Instructions.** Answers must be based on the actual testing of key internal controls (e.g., document analysis, direct observation, sampling, simulation). Answers that indicate deficiencies must be explained and corrective actions indicated in supporting documentation. These controls must be evaluated at least once every 2 years. Certification that this evaluation has been conducted must be accomplished on a [DA Form 11-2](#), Internal Control Evaluation Certification.

#### **D-4. Test questions**

a. Training.

(1) Has the IG course been completed by all USMEPCOM detailed and assistant IGs, and temporary IGs serving longer than 180 days?

(2) Are procedures in place to ensure all personnel assigned to USMEPCOM IG duty are properly trained and utilized?

(3) Is there training in place to ensure a detailed IG trains acting IGs?

(4) Are procedures in place to ensure administrative support employees are not performing IG functions?

b. Inspections.

(1) Are IG inspections planned and integrated into the USMEPCOM Inspection Program (OIP)?

(2) Are USMEPCOM IG inspections oriented toward systemic issues and designed to determine the root causes of any noted problems or deficiencies?

(3) Is the USMEPCOM IG “teach and train” technique (see Joint Inspector General Inspection Concept and System Guide and the Joint Inspector General Inspections Guide) included in the inspection process?

(4) Are the results of the USMEPCOM IG inspections provided as feedback to affected personnel and directorates?

(5) Are USMEPCOM IG inspectors provided sufficient “train up” for inspections?

(6) If required, are inspection teams augmented with subject matter experts?

(7) Are procedures in place to ensure corrective action is conducted?

(8) Are procedures in place to ensure that follow-up is conducted?



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(9) Are technical inspections conducted IAW applicable regulations and within the required period?

(10) What is the total number of general IG inspections conducted?

c. Intelligence oversight. No intelligence oversight is required at USMEPCOM. USMEPCOM does not have organizational intelligence assets.

d. Investigations.

(1) Are procedures established to ensure USMEPCOM IG investigations and inquiries are performed IAW applicable regulations and with proper authority?

(2) Are allegations against any senior official (General Officer or Senior Executive Service) immediately forwarded to the respective military service IAW established standards?

(3) Are allegations against officers in the grades of major to colonel forwarded to the respective service IG IAW established standards?

(4) Are all procedures outlined in the Joint Inspector General Investigations Guide and UMR 20-1 adhered to during the course of an investigation or inquiry?

(5) Is all evidence and other information collected properly marked and safeguarded?

(6) When necessary, are individuals advised of their rights and afforded due process?

(7) Are all Reports of Investigation or Investigative Inquiry prepared and distributed IAW Joint Inspector General Investigations Guide and UMR 20-1?

(8) When required, is a written legal review provided by the Staff Judge Advocate (SJA) on all investigations and inquiries?

(9) When required, is a directive for investigation obtained?

(10) Are all notifications made as outlined IAW Joint Inspector General Investigations Guide and UMR 20-1?

(11) Does USMEPCOM complete whistleblower reprisal investigations IAW [DoDD 7050.6](#), Military Whistleblower Protection?

(12) Does USMEPCOM comply with [DoDD 6490.1](#), Mental Health Evaluations of Members of the Armed Forces, when conducting inquiries into allegations concerning mental health evaluations?

e. Assistance.

(1) Is the IG “teaching and training” function used in the IG assistance function?

(2) Are requests for assistance that fall under another agency’s responsibility referred as appropriate?

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(3) Are requests for assistance analyzed to identify any systemic issues or trends?

(4) Are procedures in place to ensure IGs follow-up on assistance requests?

f. Information resources.

(1) Is automation equipment properly accounted for and is it operational?

(2) Has correct information been provided to DAIG (SAIG-IR) reference local IG automation resources?

(3) Does the USMEPCOM IG office have a trained site administrator?

(4) Is all required data from inspection findings and assistance cases entered into the USMEPCOM Automated Case Tracking System (MACTS) database?

(5) Are procedures established to ensure Inspector General Worldwide Network security (physical and data) is maintained?

(6) Are procedures in place to safeguard and protect IG files, information, and equipment?

(7) Are USMEPCOM IG files and documents properly marked, stored, and disposed of IAW applicable regulations?

g. Legal.

(1) Are IG records only released under the Freedom of Information Act (FOIA) or For Official Use Only (FOUO) as authorized?

(2) Are all FOIA requests received by field IG offices transferred to DoD IG-Legal for action?

**D-5. Comments.** Users may submit comments to Headquarters, USMEPCOM, ATTN: MEIG-AI, 2834 Green Bay Road, North Chicago, IL 60064-3091.

**D-6. Use of [DA Form 11-2](#).** [DA Form 11-2](#) is designed to document any internal control evaluation. Evaluations of the Inspector General area must be documented on this form. Fill in the appropriate blocks, as needed. The assessable unit is the Inspector General function. The methodology used to conduct the evaluation could be the Internal Control Evaluation Checklist and other methods used to review this area. Block 6 lists who completed the evaluation and when it was conducted. Block 7 is used to document and explain the methods used for evaluating this functional area. Block 8 is completed by the A&I Chief or DJCIG or JCIG.

[TOC](#)**Appendix E**  
**Assistance**

**E-1. Assistance.** Assistance is provided to everyone assigned to USMEPCOM upon request or anyone presenting matters of interest to the command. All Commanders must be aware that preventing communication with an IG, taking reprisal actions against an individual who has gone to an IG, or making false official statements to an IG, are all violations of punitive regulations.

**E-2. Processing of Requests for Assistance or Complaints.** An IG may receive and process requests for assistance and/or complaints from any source (including anonymous sources) regarding operations, organizations, functions, and personnel.

**E-3. Assistance Requests.** When individuals request assistance from an IG, the official receiving the complaint or assistance request will fill out a [DA Form 1559](#), Inspector General Action Request or [UMF 20-1-4-E](#), USMEPCOM Inspector General Action Request (MIGAR) (See [Figure 3-3](#)). Individuals may lodge a request for assistance or complaint either in person, by phone, via letter or by email. DoDIs, DoDDs, and Army Regulations prohibits an IG from taking direct action on a matter where an appeal process exists to redress perceived problems or injustices until the appeal has run its course. During an appeal, the IG's role is limited to insuring due process in accordance with applicable laws and regulations were afforded to the individual. Their communication with the IG is kept confidential to the maximum extent possible; however confidentiality is never guaranteed to any client. Inspectors General are eager to assist Commanders and Leaders/Supervisors with timely assistance in arriving at solutions to issues or questions that arise in their command. Occasionally, requests for assistance will contain allegations, which may cause the IG to open an informal inquiry, formal investigation or advise the Command to initiate an inquiry or investigation.

**E-4. Preliminary Analysis.** If, during preliminary analysis of the request for assistance or of a complaint, the IG determines that a request/complaint is not USMEPCOM IG appropriate, the IG will make proper notification and close the case, as appropriate.

**E-5. Assistance to other IGs.** The USMEPCOM IGs may and are encouraged to assist other governmental IGs upon request. When an IG determines an issue is not appropriate for their Command, the IG will forward the issue to the command or governmental agency that has the most direct authority over the complaint or issue.

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## **Appendix F Inspections**

**F-1. Inspector General Inspections.** An IG inspection focuses on HQ, USMEPCOM, Sectors, Battalions, or MEPS functional areas. The IG inspection team conducts IG inspections of MEPS functional areas, HQ, USMEPCOM, Sectors, or Battalions. The IG creates an annual inspection plan for approval by the USMEPCOM Commander based upon input from the same.

**F-2. [UMR 1-201](#).** This regulation specifically addresses the policy of inspections of the USMEPCOM Commander. It contains specific guidance for Commanders at all level to perform inspections as a part of the OIP of USMEPCOM.

**F-3. USMEPCOM Inspections Guide.** The document is a user's guide to the conduct of an inspection and provides details on how the USMEPCOM JCIG performs inspection. It also provides a complete inspection checklist and notification procedures used by the Office of the Inspector General. This guide is a MEPS Commander's tool to ensure compliance of an IG general inspection. Directors and subordinate Commanders are encouraged to use this guide as a part of their respective OIP, CIP, or SAV.

## **Appendix G**

### **Inquiries and Investigations**

**G-1. Inspector General Investigative Inquiry.** An IG investigative inquiry is an informal fact-finding process that normally results in a finding that the allegation is substantiated or not substantiated. Conclusions are reached based on a “preponderance of credible evidence” (a lesser degree of evidence required than “beyond reasonable doubt” necessary in a criminal trial). A substantiated allegation is maintained in the IG database for 30 years.

**G-2. Inspector General Investigation.** An IG investigation is a formal process that must be directed by the USMEPCOM Commander and is based on a written directive signed by the same. The JCIG or Chief of Assistance & Investigations will normally notify the USMEPCOM Commander when allegations are made which require a formal investigation. Conclusions are based on a “preponderance of credible evidence.”

**G-3. Inspector General Record.** Any documentation obtained during an inspection, investigation, or investigative inquiry conducted by an IG is considered an IG record.

**G-4. Clarification of an Allegation.** The wording of the allegation is critical to the investigation. Find a private location for an interview if the complaint is made in person. Determine if the allegation is registered with another Agency, Command, or Congressional office. Determine if the individual has sought assistance from the appropriate source. If the complaint or allegation is appropriate for the IG to investigate, the complainant will assist the IG with identifying the nature of the allegation. A statement will be prepared briefly outlining the facts and relevant background information related to the allegation. The statement will address who committed the alleged violation; what alleged violation was committed; what law, regulation, procedure, or policy was violated; and when the alleged violation occurred (if known). The complainant will need to identify sources (documents, names of witnesses, or physical evidence) that can corroborate the allegation. The IG will determine what remedy the complainant is seeking.

**G-5. Acknowledgement of Receipt of the Allegation.** The complainant will receive a written or email acknowledgement. The IG will explain the major steps of the IG investigation process and when the complainant can expect to receive an interim reply from the IG. The IG will explain to the complainant that, in some instances (senior official cases), the IG does not provide status updates or final replies and, in the case of DoD Hotline complaints, the DoD IG can only tell a complainant whether their case is open or closed, and, if closed, whether the allegations were substantiated or not substantiated.

**G-6. Declining to Pursue an Allegation/Complaint.** All reasons for an IG to decline to pursue a complaint must be documented in a notification letter to the complainant, a copy of that letter placed in the case file, and the case closed. The IG can decline to pursue a complaint after preliminary analysis for the following reasons:

- a. Analysis discloses no recognizable wrong, violation of law, regulation, or policy.
- b. Complainant refuses to provide sufficient evidence to conduct the analysis properly.
- c. Complainant files essentially the same complaint under Article 138 of the UCMJ.
- d. The complaint is obviously frivolous.
- e. Investigation would not appreciably affect the outcome or remedy sought.

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f. The allegation has already been investigated and reviewed by the Commander or is currently under Command investigation.

g. The nature of the complainant is so improbable that it defies common sense.

h. The complaint falls outside the jurisdiction of the USMEPCOM IG (may want to refer the complaint).

i. The complainant has already filed a Congressional inquiry or complaint.

**G-7. Determination of an Inspector General Appropriate Allegation.** The IG must determine if an allegation is appropriate to investigate. Some issues may not be appropriate for the IG to investigate. The IG may examine complaints that identify a flawed process.

**G-8. Referral of an Allegation.** If the IG decides the case is not appropriate for IG investigation but warrants investigation by an appropriate authority, the IG will refer the case using three steps.

a. First notify, in writing, the appropriate agency and the complainant of the referral or refer the complainant to the appropriate existing grievance channel.

b. Second, if appropriate, request the referral agency to provide a copy of any closure actions for the IG case files.

c. Third, document the case as a referral and make the appropriate annotations in the IG database (if applicable), and close the case.

**G-9. Appropriate Inspector General Investigations.** If the allegation is determined to be a USMEPCOM matter, the JCIG will request that the Appointing Authority grant approval to proceed with an IG investigation performed by a Detailed IG (JCIG, DJCIG, Chief of A&I, or Chief of Inspections).

**G-10. Notifications of Inspector General Investigations.** Investigations of O-6 promotable/select, General Officers, and Senior Executive Service (SES) personnel are handled by the DoD IG. Notifications of IG investigations are important so that all involved parties are properly informed of the appointment, progress, and results of the investigation. Investigation notification requirements vary depending on what type of investigation is being conducted. To ensure compliance with applicable laws, the USMEPCOM SJA will be consulted regarding all notification issues involving an IG investigation. While conducting a notification, the IG investigators will not provide investigation material to witnesses, subjects, or other third parties or allow those individuals to read any complaint filed through IG channels. Usually, proper notifications start with the IG notifying the appointing authority of the allegation. The appointing authority designates in writing the currently assigned IG as an Investigating Officer (IO). At this point, the IG IO will consult with the USMEPCOM SJA to ensure all applicable laws are followed while conducting an effective investigation. Finally the appointed IG IO provides progress reports to the JCIG and Commander (as required) at agreed-upon suspense dates.

**G-11. Conduct Fact-Finding.** The IG investigations are administrative rather than judicial in nature. IG investigations are not criminal proceedings in which proof beyond a reasonable doubt is required. Rather, the standard of proof that applies is proof by a preponderance of the evidence. The facts gathered by an IG IO may not rise to the level of what would be required in a court of law. The IG IO gathers facts by conducting interviews, reviewing evidence, and making observations. Sometimes the subject matter of the investigation will be beyond the expertise of the IG IO. In those cases, the IG IO must request the assistance of a subject matter expert. The IG IO will use his/her judgment and experience to determine what amount of evidence is appropriate for a thorough investigation.

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**G-12. Complete Report.** The basic elements and headings for a report of investigation or investigative inquiry are presented in Appendix H of this regulation.

**G-13. Obtain Legal Review.** Before issuance of an investigative report, the IG IO must submit the report to the SJA for a written legal review of sufficiency. The IG IO report is presented to the appointing authority. If issues arise between the SJA and the IG IO that cannot be resolved, the IG will highlight the issue with the appointing authority, make recommendations, and request guidance.

**G-14. Submit Report to Approving Authority.** Once the investigation report has been reviewed by the Command SJA's office, the IG IO must review the report with the JCIG and Commander.

**G-15. Notification of Investigation Results.** Upon approval of an investigation report, the IG must make notifications of the results of the investigation. The subject and the subject's Commander must be notified of the results of the investigation. Notification of the subject's Service IG may be required. If the complainant was adversely affected by the actions of the subject, then the complainant is entitled to a summary report of the investigation findings. If the complainant is a third party they are not entitled to the results of an investigation.

**G-16. Conduct Follow-up.** After notifications are complete, the IG IO needs to determine if appropriate follow-up is desirable. Normally the results of an investigation end after reporting to the JCIG or Commander. However, in some instances follow-up may be appropriate if the investigation discovers a systemic problem.

**G-17. Close the Case.** To close a case, the IG IO must label each allegation in the case file as closed and, if applicable, make the same annotations in the case database. If some allegations remain open pending further/ongoing investigation, the case will not be closed.

**G-18. USMEPCOM IG Conclusions.** An IG can reach only one of two conclusions for each allegation in an investigation. An allegation can either be substantiated or not substantiated.

[TOC](#)**Appendix H****Format for a Report of Investigation or Report of Investigative Inquiry (Example)****Report of Investigation (ROI) or Report of Investigative Inquiry (ROII)  
(Dates of Investigation)**

**H-1. IG Investigator.** (Enter IG's grade, full name, and duty title)

**H-2. Grade and Name of Subject/Suspect.** (database number if there is one)

**H-3. Authority and Scope of Investigation.** An example may read: *The authority for this investigation was granted by Colonel Jonathan Doe, Commander, HQ, USMEPCOM on October 4, 2010.*

*The objective of this investigation was to determine the facts and circumstances bearing on a complaint regarding the alleged hostile work environment on the part of a supervisor at the WHACHA TOWN MEPS.*

**H-4. List the Allegations.** Allegation #1-list the allegation and its finding (state whether the allegation was substantiated or not substantiated, based on the evidence (don't use the word "substantiated" when wrongdoing is not present).

a. Chronology of Events relating to Allegation #1. A chronology of events is essential to a thorough, in-depth ROI. The chronology will include the complete chain of events pertaining to the various allegations contained in the complaint. Event(s) not pertinent to the allegation(s) will be excluded.

b. Analysis and Conclusion-Allegation #1. State how the facts were determined (such as witness testimony or documentary evidence, etc.). Explain the rationale for the conclusion (substantiated or not substantiated) and comment on any corrective actions already taken. Give the current status of the complaint and describe any options or alternatives management has given or those still available to the complainant.

c. Recommendation(s) #1. Include your recommendations, if deemed necessary. Provide for short-term and long-term fixes. Do not recommend specific disciplinary actions for individuals.

**H-5. List the Allegation.** Allegation #2. For allegation #2, repeat the process outlined in paragraph H-4 above. Repeat this process for each allegation.

*Note: Stamp or mark the bottom of each page as follows:*

This is a privileged document. It will not be released (in whole or in part), reproduced, or given additional dissemination (in whole or in part) outside the Inspector General channels without prior approval of the Joint Command Inspector General or Commander.

*Note: The format above is an example format of an ROI/ROII. The JCIG may decide other formats are more appropriate. However, if the ROI/ROII is in response to a DoD IG HOTLINE Complaint, you must use the format at enclosure 2 of [DoDI 7050.01](#), Defense Hotline Program.*



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## **Appendix I Seeking Inspector General Assistance**

### **Before Seeing an IG**

- I-1.** Be sure you have a problem, not just a peeve and you are going to present a violation of a standard or procedure.
- I-2.** IGs will always attempt to work matters through the chain of command if appropriate so give your chain of command a chance to solve the problem, issue or concern.
- I-3.** Be straightforward, honest, and upfront and don't provide any misleading information and be fully prepared to back up what you say.
- I-4.** Always avoid hearsay and rumors.
- I-5.** IGs are not policy makers.
- I-6.** IGs can only make recommendations to the chain of command. We cannot order the chain of command to take actions.
- I-7.** IGs can only resolve cases based on facts, and will always seek to get all three sides of every story (not just yours).
- I-8.** Keep in mind if making an allegation (who improperly did or did not do something in violation of a law, regulation, policy etc.) against an individual, ensure you understand that you may be a key witness in the event of an investigation.
- I-9.** Don't expect instant action on your request because IGs are working a number of cases, so be patient.
- I-10.** Be prepared to take "no" for an answer and the IG will explain why.

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## **Appendix J**

### **Visiting the Inspector General's Office**

#### **Seeing an IG for Assistance**

**J-1.** Inform the Inspector General (IG) that you are here (in their office) and ask for a [DA Form 1559](#) or [USMEPCOM Form 20-1-4-E](#).

**J-2.** Fill out the Form and ensure that you clearly state the nature of the issue and what you want the IG to do for you.

**J-3.** Inform the IG that you filled out the Form and are now available for an interview.

**J-4.** Be prepared to answer these five questions at the beginning of the interview:

a. What do you want the IG to do for you (what is the specific issue (BLUF)-Bottom Line Up Front-get to the point)?

b. Do you have any supporting documentation?

c. Have you requested assistance from any other source or agency?

d. Have you given your chain of command an opportunity to address the problem?

e. What is your status (active or reserve military, Department of the Army Civilian, etc)?

**J-5.** The IG will then determine if your request for assistance is "IG appropriate."

a. If so, the interview will continue.

b. If not, the IG will explain why and will terminate the interview and redirect you to the proper redress process, as appropriate.

c. Have you already given your chain of command an opportunity to resolve this issue?

**J-6.** If not, be prepared for the IG to send you back to your chain of command. Additionally, think of the IG as an extension of the Commander's open door policy-have you used all open door policies within your chain of command?

a. Have you already sought assistance through any other source or agency?

b. Do you have supporting documentation? What is your status (Active Duty, ARNG, Reserve, Retired, DA Civilian, Civilian, family Member, etc.)?

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## **Glossary**

### **Section I Abbreviations**

#### **AR**

Army Regulation

#### **ASVAB**

Armed Services Vocational Aptitude Battery

#### **CIP**

Command Inspection Program

#### **CMO**

Chief Medical Officer

#### **DA**

Department of the Army

#### **DD, DoD**

Department of Defense

#### **DJCIG**

Deputy Joint Command Inspector General

#### **FOIA**

Freedom of Information Act

#### **HQDA**

Headquarters, Department of Army

#### **HQ USMEPCOM**

Headquarters, United States Military Entrance Processing Command

#### **IG**

Inspector General

#### **IRC**

Inter-service Recruitment Committee

#### **ISA**

Inter-service Support Agreements

#### **JCIG**

Joint Command Inspector General

#### **MEPNET**

United States Military Entrance Processing Command Intranet

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**MEPS**

Military Entrance Processing Station

**NCOIC**

Noncommissioned Officer In Charge

**OPM**

Office of Personnel Management

**OIP**

Organizational Inspection Program

**SAIG**

Secretary of Army Inspector General

**SAV**

Staff Assistance Visit

**SJA**

Staff Judge Advocate

**SOP**

Standing Operating Procedure

**TIG**

The Inspector General

**TA**

Test Administrator

**UCMJ**

Uniform Code of Military Justice

**USMEPCOM**

United States Military Entrance Processing Command

**UMR**

USMEPCOM Regulation

[TOC](#)**Section II**  
**Terms****allegation**

A statement or assertion of wrongdoing by an individual that is formulated by the IG. An allegation contains four essential elements: who committed the alleged violation; what alleged violation was committed; what law; regulation, procedure, or policy was violated; and when the alleged violation occurred (if known). Allegations are refined by the IG based upon evidence gathered during the course of the investigation or inquiry.

**announced inspection**

The announced inspection will be a general inspection conducted at each MEPS, on a two-year rotating basis, Sectors and Directorates.

**appointing authority**

The individual with authority to direct investigations (the USMEPCOM Commander, but may be delegated to the Joint Command Inspector General).

**approval authority**

The individual with authority to approve a USMEPCOM IG action is normally the USMEPCOM Commander, unless cognizance over the issue resides with another DoD entity.

**assistance**

The process of receiving, inquiring into, and responding to complaints, allegations, and requests for help (assistance) that are presented or referred to a USMEPCOM IG.

**assistance inquiry**

The Assistance Inquiry is an informal fact-finding process used to address or respond to a complaint involving a request for help, information, or issues but not allegations of impropriety or wrongdoing. Majority of the work for an Assistance Inquiry consists of coordination between various staff entities within the command and other agencies primarily conducted in person, per telephone, or via e-mail.

**Assistant Inspector General**

Warrant officers, enlisted personnel (E-7 and above) or civilian employees (General Schedule (GS)-11 and above) who perform inspector general (IG) functions on the staff of a Command IG.

**confidentiality**

The act of protecting both the complainant's or witnesses' identity, and any information that may lead to the identification of the complainant or witness, to the extent possible under applicable law and regulation.

**Detailed Inspector General**

Commissioned officers selected for detail as a continuation of their professional development. They must qualify for the detail through their service personnel system. Civilian employees in the grade of GS-12 and above can also perform duties as a detailed inspector general.

**Directing Authority**

This can only be a Commander. The USMEPCOM Commander is the directing authority for the Office of the Inspector General.

[TOC](#)**fact finding**

Fact-finding involves the process of obtaining factual information in the conduct of a Joint IG Inspection, Assistance Inquiry, Investigative Inquiry, and Investigation. In order to resolve the issues and allegations gleaned from a Joint IGAR (no matter whether the Joint IGAR is from a complainant or a request from a Commander), the Joint IG must obtain facts that will support the Joint IG's eventual decision. (See the Joint IG Assistance Guide, Section 2.5)

**general inspection**

An inspection, broad in scope, in which all the activities in an organization or command are subject to inspection. General inspections focus on issues and trends.

**hand-off**

An administrative procedure that transfers a verified finding, that is beyond the authority or ability of the inspecting command to act on, from one command or agency IG to another command or agency IG.

**In-Compliance**

This is an inspection rating that shows a range from no adverse critical item trends to multiple adverse critical item trends; however, deviations from set guidelines and discrepancies do not threaten mission readiness and capabilities.

**initial denial authority**

An official who has been granted authority by the head of a DoD Component to withhold records requested under the FOIA for one or more of the nine categories of records exempt from mandatory disclosure. Initial denial authorities can also confirm that no records were located in response to a request.

**Inspector General (IG) records**

Any written or recorded inspector general work product, in any form, from any source, that is created or obtained in furtherance of the performance of an IG function. An IG record includes, but is limited to, correspondence or documents received from a witness or a person requesting assistance, IG reports, electronic media, computer automatic data files or data, IG notes, and working papers.

**inquiry**

An informal fact-finding process followed by IGs to gather information needed to respond to a requester (assistance function) or resolve allegations or issues when investigative techniques are appropriate (investigation function) but circumstances do not merit an IG investigation. Typically, investigative inquiries are conducted without a directive or sworn, recorded testimony; there is no prescribed format for reports. (See the Joint IG Investigations Guide, Section 2.8 for more information.)

**inspection**

An inspection led by a detailed inspector general (IG) oriented toward the identification of problems, determination of their root causes, development of possible solutions and assignment of responsibilities for correcting the problems. Generally, IG inspections focus on issues rather than on units. The scope and content are determined by the IG's Commander.

**Inspector General Action Request**

Any complaint, allegation, or request for assistance presented to an IG. Request can be in person or by telephone, letter, e-mail, or facsimile. The [DA Form 1559](#) or [UMF 20-1-4-E](#) may be used (See [Figure 3-3](#)).

[TOC](#)**investigation**

The Investigation is a formal fact-finding examination led by a Joint IG into allegations, issues, or adverse conditions to provide the Directing Authority a sound basis for decisions and actions. Joint IG Investigations normally address allegations of wrongdoing by an individual and are authorized by written directives from the Directing Authority. The conduct of Joint IG Investigations involves the systematic collection and examination of testimony and documents but may also include physical evidence. The process for an Investigation including the final report format is addressed in the Joint IG Investigations Guide, Section 2.5.

**investigative inquiry**

An Investigative Inquiry is an informal fact-finding examination by a Joint IG into allegations, issues, or adverse conditions. This process allows Joint IGs to gather information needed to address allegations of impropriety against an individual that do not require a formal investigation. The Command Joint IG can direct an IG Investigative Inquiry and does not need to obtain additional authority from his or her Directing Authority (Commander). The process for an Investigative Inquiry including the final report format is addressed in the Joint IG Investigations Guide, Section 2.5.

**Inspector General Action Request**

Any complaint, allegation, or request for assistance presented to an IG. Request can be in person or by telephone, letter, e-mail, or facsimile. The [DA Form 1559](#) or [UMF 20-1-4-E](#) may be used.

**follow-up inspection**

An inspection of the action taken to correct deficiencies found during a previous inspection or audit. The follow-up inspection assesses the corrective action to determine if it was effective and complete; if it produced desired results without causing new problems; and if it was economical, efficient, practical, and feasible.

**Member of the Armed Forces**

All regular, guard, and reserve component officers (commissioned and warrant) and enlisted members of the Army, Navy, Air Force, Marine Corps, and the Coast Guard (while assigned, or under the control of, USMEPCOM), including reserve component personnel in any duty or training status.

**non-IG records**

For purposes of records release/initial denial authority, these are documents contained within the IG system of records created by other DoD organizations, Federal agencies, or documents from outside the Federal Government and are not a part of an inspection or investigation. The originating agency of the record is the release authority/initial denial authority for those records. Request for non-IG records will be referred to the originator for appropriate action.

**Not-In-Compliance**

This is an inspection rating that shows significant deviations from set guidelines. The number and nature of adverse critical item trends and discrepancies places the MEPS at risk for mission failure.

**preliminary analysis**

The initial review of an issue or complaint, including the determination whether an issue or complaint is IG appropriate and warrants further action. The preliminary analysis is completed prior to proceeding to any type of inquiry/investigation.

**protected communication**

A communication in which a member of the Armed Forces or civilian employee communicates information that the member/employee reasonably believes evidences a violation of law or regulation, including sexual

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harassment or unlawful discrimination, gross mismanagement, or gross waste of funds or other resources, an abuse of authority, or a substantial and specific danger to the public health or safety, when such a communication is made to a Member of Congress, an IG, or a member of a DoD audit, inspection, investigation, or law enforcement organization.

**referral**

A complaint that is transferred to another organization or activity for further action. Some Services may define this as a hand-off or transfer. A referral of an allegation or issue requires a written memorandum to the USMEPCOM Commander.

**reprisal**

Taking an adverse personnel action or withholding a favorable personnel action from a whistleblower who discloses information to designated officials that the whistleblower reasonably believes evidences a violation of law, rule, or regulation.

**root cause analysis model**

Sample procedure (established in the Joint Inspector General Inspection Guide) used to determine why a situation or issue is processed in a particular way.

**standard of proof**

The standard of proof applicable to USMEPCOM IG investigations and inspections is “preponderance of the evidence,” which means that the IG Investigative Officer or Inspector is satisfied that the greater weight of credible evidence supports the finding(s) and conclusion(s).

**subject**

A person against whom allegations of wrongdoing have been made and whose conduct is the focus of an investigation.

**substantiated**

A complaint or allegation is substantiated when a preponderance of the evidence establishes that the complaint or allegation did occur.

**suspect**

A person against whom sufficient evidence exists to create a reasonable belief that they engage in criminal misconduct.

**train up**

Training for IG inspectors in procedures and requirements before conducting an inspection.

**USMEPCOM JCIG**

This is the Command’s Inspector General or Joint Command Inspector General.

**USMEPCOM IGs**

This is the JCIG’s office members.

**whistleblower**

A member of the Armed Forces, civilian employee, or defense contractor employee who makes (or, in the case of a member of the Armed Forces, prepares to make) a disclosure of information protected by whistleblower statutes refer to [DoD Directive 7050.6](#) (Military Whistleblower Protection).